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† ADMITTED ONLY IN CALIFORNIA

## PATENT APPLICATION

Docket No. 15436.249.40.1

PATENTS

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UNFAIR COMPETITION

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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

### Mail Stop PATENT APPLICATION

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

22154 U.S. PTO  
10/697725  
103003

### TRANSMITTAL FOR PATENT APPLICATION

Sir:

Transmitted herewith for filing under 37 C.F.R. § 1.53(b) is a United States patent application entitled INTEGRATED OPTICAL ISOLATOR AND POLARIZATION BEAM COMBINER in the name of the following inventor(s):

Inventor: Qi Deng  
Citizenship: China  
Address: 202 Calvert Drive, #294  
Cupertino, California 95014

Inventor: Xiwen Wang  
Citizenship: United States of America  
Address: 2005 Townehouse Drive  
Coram, New York 11727

Inventor: Bing Zhang  
Citizenship: United States of America  
Address: 1007 Wunderlich Drive  
San Jose, California 95129

Inventor: Liren Du  
Citizenship: China  
Address: 1679 Ambergrove Drive  
San Jose, California 95131

Inventor: Shuqing Ma  
Citizenship: China  
Address: 170 Locksunart Way, #7  
Sunnyvale, California 94087

Inventor: Yonglin Huang  
Citizenship: United States of America  
Address: 518 Vista Spring Court  
Milpitas, California 95035

Enclosed are the following:

- ☒ A specification, claims, abstract, and cover page in total comprising THIRTY-EIGHT (38) pages.
- ☒ SEVEN (7) sheets of drawings.
- ☒ Non-publication request requesting that the present application not be published.
- ☐ A joint signature Declaration, Power of Attorney and Petition.
- ☐ An Assignment conveying the invention to **FINISAR CORPORATION**, including a Form PTO 1595 recordation cover sheet.
- ☒ A Certificate of Mailing by "Express Mail" certifying a filing date by use of Express Mail Label No. EV 203 529 849 US.

The filing fee has been calculated as shown below.

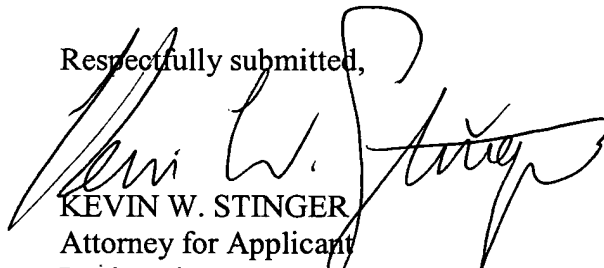
|                          |           |           | SMALL ENTITY |       | LARGE ENTITY |            |
|--------------------------|-----------|-----------|--------------|-------|--------------|------------|
| FOR                      | NO. FILED | NO. EXTRA | RATE         | FEE   | RATE         | FEE        |
| BASIC FEE                |           |           |              | \$385 |              | \$770      |
| TOT. CLAIMS              | 32-20=    | 12        | X 9=         |       | X 18=        | 216        |
| IND. CLAIMS              | 7-3=      | 4         | X 43         |       | X 86=        | 344        |
| MULTIPLE DEPENDENT CLAIM |           |           | +140=        |       | +280=        |            |
|                          |           |           | <b>TOTAL</b> |       | <b>TOTAL</b> | \$1,330.00 |

- X Credit Card Payment Form PTO-2038 in the amount of \$1330.00 is enclosed to cover the government filing fee.
- X The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 23-3178.
- X Any additional filing fees required under 37 C.F.R. § 1.16.
- X Any patent application processing fees under 37 C.F.R. § 1.17.
- X The Commissioner is hereby authorized to charge payment of the following fees during the pendency of this application or credit any overpayment to Deposit Account No. 23-3178.
- X Any filing fees under 37 C.F.R. § 1.16 for presentation of extra claims.
- X Any patent application processing fees under 37 C.F.R. § 1.17.
- X A duplicate copy of this letter is enclosed.

Please address all future correspondence in connection with the above-identified patent application to the attention of the undersigned.

Dated this 30<sup>th</sup> day of October, 2003.

Respectfully submitted,



KEVIN W. STINGER  
Attorney for Applicant  
Registration No. 48,959  
Customer No. 022913

KWS/lrc

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EXPRESS MAIL LABEL NO. EV 203 529 849 US

PATENT APPLICATION  
Docket No.: 15436.249.40.1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

|                       |  |   |
|-----------------------|--|---|
| In re application of: |  | ) |
|                       |  | ) |
|                       | Qi Deng, et al.                        | ) |
|                       |  | ) |
| Serial No.:           | Unknown                                | ) |
|                       |  | ) |
| Filed:                | October 30, 2003                       | ) |
|                       |  | ) |
| For:                  | <b>INTEGRATED OPTICAL ISOLATOR AND</b> | ) |
|                       | <b>POLARIZATION BEAM COMBINER</b>      | ) |

**NON-PUBLICATION REQUEST**

Mail Stop: PATENT APPLICATION  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

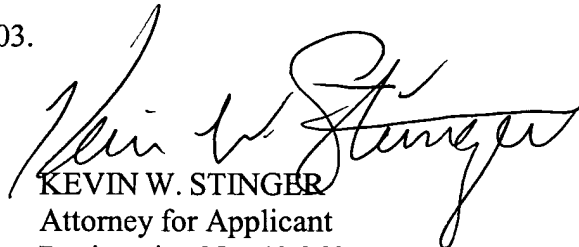
Dear Sir:

The undersigned Applicant hereby makes a "NON-PUBLICATION REQUEST" in accordance with 37 C.F.R. § 1.213(a). As such, the present application is not to be published under 35 USC § 122 (b). Applicant certifies that the application has not been and will not be the subject of an application filed in another country, or under a multi-lateral international agreement, that requires publication of applications eighteens months after filing.

The foregoing certification is predicated upon both objective and subjective factors, any of which the Applicant reserves the right to reconsider at any time in the future for purposes of subjecting the present application to one or more filings in other countries. As such, the Applicant reserves the right under 37 C.F.R. § 1.213(b) to rescind the foregoing "NON-PUBLICATION REQUEST." Moreover, Applicant further reserves the right under 37 C.F.R. §

1.213(c) to subsequently file, in a foreign country or under a multi-lateral international agreement, an application directed to the inventions disclosed in the application filed in the Patent and Trademark Office, should Applicant's reconsideration of said subjective and objective factors deem that such foreign filings would be in the Applicant's best interest.

Dated this 30<sup>th</sup> day of October, 2003.

  
KEVIN W. STINGER  
Attorney for Applicant  
Registration No. 48,959  
Customer No. 022913

KWS/lrc  
LC0000000312V001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

"Express Mail" Mailing Label No.: EV 203 529 849 US

Date of Deposit: October 30, 2003

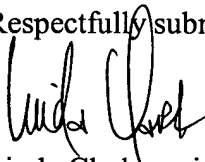
CERTIFICATE OF MAILING BY "EXPRESS MAIL"

I hereby certify that the following documents are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated below in an envelope addressed to Mail Stop PATENT APPLICATION, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450:

- Patent Application in the name(s) of Qi Deng, Xiwen Wang, Bing Zhang, Liren Du, Shuqing Ma, and Yonglin Huang for INTEGRATED OPTICAL ISOLATOR AND POLARIZATION BEAM COMBINER ( 38 Pages)
- Drawings (7 sheets)
- Non-publication Request (2 pages)
- Transmittal Letter (3 pages) (in duplicate)
- Credit Card Payment Form PTO-2038 in the amount of \$1330.00
- Postcard

Dated this 30<sup>th</sup> day of October 2003.

Respectfully submitted,



Linda Clark, assistant to  
Kevin W. Stinger  
Attorney for Applicant  
Registration No. 48,959  
**Customer No. 022913**

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